

Exhibit 300: Capital Asset Plan and Business Case Summary**Part I: Summary Information And Justification (All Capital Assets)****Section A: Overview (All Capital Assets)**

1. Date of Submission: 2010-03-23 17:35:13

2. Agency: 393

3. Bureau: 00

4. Name of this Investment: Holdings Management System (HMS)

5. Unique Project (Investment) Identifier: 393-00-01-04-01-0038-00

6. What kind of investment will this be in FY 2011?: Mixed Life Cycle

- Planning
- Full Acquisition
- Operations and Maintenance
- Mixed Life Cycle
- Multi-Agency Collaboration

7. What was the first budget year this investment was submitted to OMB? *

8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap; this description may include links to relevant information which should include relevant GAO reports, and links to relevant findings of independent audits.

NARA has recognized the need to improve its business processes to manage and track the physical aspects of permanent, hard-copy, archival records in its custody. HMS enables NARA to more effectively meet strategic goal two (We will preserve and process records to ensure access by the public as soon as legally possible) by enabling staff to more accurately locate Federal records holdings across all facilities, efficiently identify available and suitable space for storing archival holdings, reliably track the chain of custody of NARA archival holdings over time (responsibility and accountability), effectively document preservation needs and track actions done to NARA archival holdings over time, as well as reduce labor burden for tracking and reporting requirements. Before HMS was available, NARA had only partially automated and standardized business processes to manage hard-copy archival records. It did not use a common, integrated technology application to perform its tasks. Individual NARA units had to develop unique procedures and applications to carry out their work. As a result, the organization used multiple applications, paper-logs, and forms to manage hard-copy archival records. HMS integrates the many stand-alone automated and manual systems currently used throughout NARA for the management of hard-copy archival records into one system.

- a. Provide here the date of any approved rebaselining within the past year, the date for the most recent (or planned) alternatives analysis for this investment, and whether this investment has a risk management plan and risk register.**

9. Did the Agency's Executive/Investment Committee approve this request? *

- a. If "yes," what was the date of this approval? ***

10. Contact information of Program/Project Manager?

- Name: *
- Phone Number: *
- Email: *

11. What project management qualifications does the Project Manager have? (per FAC-P/PM)? *

- Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment.
- Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.
- Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria.
- Project manager assigned but qualification status review has not yet started.
- No project manager has yet been assigned to this investment.

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

Financial management system name(s)	System acronym	Unique Project Identifier (UPI) number
*	*	*

a. If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one): *

- computer system security requirement;
- internal control system requirement;
- core financial system requirement according to FSIO standards;
- Federal accounting standard;
- U.S. Government Standard General Ledger at the Transaction Level;
- this is a core financial system, but does not address a FFMIA compliance area;
- Not a core financial system; does not need to comply with FFMIA

Section B: Summary of Funding (Budget Authority for Capital Assets)

1.

Table 1: SUMMARY OF FUNDING FOR PROJECT PHASES (REPORTED IN MILLIONS) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)									
	PY1 and earlier	PY 2009	CY 2010	BY 2011	BY+1 2012	BY+2 2013	BY+3 2014	BY+4 and beyond	Total
Planning:	*	*	*	*	*	*	*	*	*
Acquisition:	*	*	*	*	*	*	*	*	*
Subtotal Planning & Acquisition:	*	*	*	*	*	*	*	*	*
Operations & Maintenance:	*	*	*	*	*	*	*	*	*
Disposition Costs (optional):	*	*	*	*	*	*	*	*	*
SUBTOTAL:	*	*	*	*	*	*	*	*	*
Government FTE Costs should not be included in the amounts provided above.									
Government FTE Costs	*	*	*	*	*	*	*	*	*
Number of FTE represented by Costs:	*	*	*	*	*	*	*	*	*
TOTAL(including FTE costs)	*	*	*	*	*	*	*	*	*

2. If the summary of funding has changed from the FY 2010 President's Budget request, briefly explain those changes:

*

Section C: Acquisition/Contract Strategy (All Capital Assets)

1.

Table 1: Contracts/Task Orders Table

Contract or Task Order Number	Type of Contract/Task Order (In accordance with FAR Part 16)	Has the contract been awarded (Y/N)	If so what is the date of the award? If not, what is the planned award date?	Start date of Contract/Task Order	End date of Contract/Task Order	Total Value of Contract/Task Order (M)	Is this an Interagency Acquisition? (Y/N)	Is it performance based? (Y/N)	Competitively awarded? (Y/N)	What, if any, alternative financing option is being used? (ESPC, UESC, EUL, N/A)	Is EVM in the contract? (Y/N)
NAMA03F0041	Time and Material	Y	2003-05-27	2003-06-02	2008-06-01	\$8.7	*	*	*	*	*
NAMA08F0060	Fixed Price	Y	2008-05-01	2008-05-01	2013-04-30	\$3.4	*	*	*	*	*
NAMA03F0069	Time and Material	Y	2003-09-30	2003-09-30	2007-09-29	\$9.0	*	*	*	*	*
NAMA04F0059	Time and Material	Y	2004-08-05	2004-08-05	2007-03-30	\$0.5	*	*	*	*	*
NAMA07F0111	Mixed	Y	2007-09-12	2007-09-17	2012-09-16	\$26.2	*	*	*	*	*
NAMA08F0088	Mixed	Y	2008-09-23	2008-09-23	2013-09-22	\$7.0	*	*	*	*	*

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

*

3. Is there an acquisition plan which reflects the requirements of FAR Subpart 7.1 and has been approved in accordance with agency requirements? *

a.If "yes," what is the date? *

Section D: Performance Information (All Capital Assets)

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2008	SDLC Requirements Phase	*	*	Requirements Phase	Develop requirements	Complete by FY2008Q2	Completed March 2008
2008	SDLC Preliminary Design Phase	*	*	Preliminary Design Phase	Preliminary Design	Complete by FY2008Q3	Completed May 2008
2008	SDLC Detailed Design Phase	*	*	Detailed Design Phase	Detailed Design	Complete by FY2008Q4	Completed August 2008
2009	SDLC Detailed Design Phase	*	*	Development Phase	Development	Complete by FY2009Q2	Completed May 2009
2009	SDLC Detailed Design Phase	*	*	Unit Testing Phase	Unit Testing	Completed by FY2009Q2	Completed May 2009
2009	SDLC Detailed Design Phase	*	*	Acceptance Testing Phase	Acceptance Testing	Completed by FY2009Q3	Completed June 2009
2010	Goal 2: We will preserve and process records to ensure access by the public as soon as legally possible.	*	*	Cubic feet "at-risk" of holdings treated	85,000 Feet	100,000 Cubic Feet	TBD
2010	Goal 4: We will provide prompt, easy, and secure access to our holdings anywhere, anytime.	*	*	Percentage of items requested in our research rooms are furnished within 1 hour of request or scheduled pull time.	93%	94%	TBD
2010	Goal 2: We will preserve and process records to ensure access by the public as soon as legally possible.	*	*	Percentage of traditional NARA archival holdings are stored in appropriate space.	82% traditional	85%	TBD
2010	Goal 2: We will preserve and process records to ensure access by the public as soon as legally possible.	*	*	Percent of our holdings have been processed to the point where researchers can have efficient access to them.	41%	10% increase	TBD
2011	Goal 2: We will preserve and process records to ensure access by the public as soon as legally possible.	*	*	Cubic feet "at-risk" of holdings treated	85,000 cubic feet	90,000 cubic feet	TBD
2011	Goal 4: We will provide prompt, easy, and	*	*	Researcher information request (i.e.,	TBD	Decrease	TBD

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	secure access to our holdings anywhere, anytime.			Pull Slip) error rate.			
2011	Goal 2: We will preserve and process records to ensure access by the public as soon as legally possible.	*	*	% availability of HMS application to end users.	TBD	98.86%	TBD
2011	Goal 2: We will preserve and process records to ensure access by the public as soon as legally possible.	*	*	Percent of risk assessments recorded in HMS	TBD	TBD	TBD
2012	Goal 2: We will preserve and process records to ensure access by the public as soon as legally possible.	*	*	Cubic feet of "at-risk" holdings treated.	TBD	TBD	TBD
2012	Goal 4: We will provide prompt, easy, and secure access to our holdings anywhere, anytime.	*	*	Researcher information request (i.e., Pull Slip) error rate.	TBD	Decrease	TBD
2012	Goal 2: We will preserve and process records to ensure access by the public as soon as legally possible.	*	*	% availability of HMS application to end users.	TBD	TBD	TBD
2012	Goal 2: We will preserve and process records to ensure access by the public as soon as legally possible.	*	*	Percent of risk assessments recorded in HMS.	TBD	TBD	TBD
2013	Goal 2: We will preserve and process records to ensure access by the public as soon as legally possible.	*	*	Cubic feet of "at-risk" holdings treated.	TBD	TBD	TBD
2013	Goal 4: We will provide prompt, easy, and secure access to our holdings	*	*	Researcher information request (i.e., Pull Slip) error rate.	TBD	TBD	TBD

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	anywhere, anytime.						
2013	Goal 2: We will preserve and process records to ensure access by the public as soon as legally possible.	*	*	% availability of HMS application to end users.	TBD	TBD	TBD
2013	Goal 2: We will preserve and process records to ensure access by the public as soon as legally possible.	*	*	Percent of risk assessments recorded in HMS.	TBD	TBD	TBD
2014	Goal 2: We will preserve and process records to ensure access by the public as soon as legally possible.	*	*	Cubic feet of "at-risk" holdings treated.	TBD	TBD	TBD
2014	Goal 4: We will provide prompt, easy, and secure access to our holdings anywhere, anytime.	*	*	Researcher information request (i.e., Pull Slip) error rate.	TBD	TBD	TBD
2014	Goal 2: We will preserve and process records to ensure access by the public as soon as legally possible.	*	*	% availability of HMS application to end users.	TBD	TBD	TBD
2014	Goal 2: We will preserve and process records to ensure access by the public as soon as legally possible.	*	*	Percent of risk assessments recorded in HMS.	TBD	TBD	TBD
2015	Goal 2: We will preserve and process records to ensure access by the public as soon as legally possible.	*	*	Cubic feet of "at-risk" holdings treated.	TBD	TBD	TBD
2015	Goal 4: We will provide prompt, easy, and secure access to our holdings anywhere, anytime.	*	*	Researcher information request (i.e., Pull Slip) error rate.	TBD	TBD	TBD

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2015	Goal 2: We will preserve and process records to ensure access by the public as soon as legally possible.	*	*	% availability of HMS application to end users.	TBD	TBD	TBD
2015	Goal 2: We will preserve and process records to ensure access by the public as soon as legally possible.	*	*	Percent of risk assessments recorded in HMS.	TBD	TBD	TBD

Part II: Planning, Acquisition And Performance Information

Section A: Cost and Schedule Performance (All Capital Assets)

1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline								
Description of Milestones	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
Planning	\$1.5	\$1.5	2006-06-30	2006-06-30	2007-09-30	2007-09-30	100.00%	100.00%
Analysis	\$2.2	\$2.2	2007-01-15	2007-01-15	2008-01-31	2008-01-31	100.00%	100.00%
Design	\$1.5	\$1.5	2008-02-01	2008-02-01	2008-08-31	2008-08-31	100.00%	100.00%
FY 2008 Operations and Maintenance	\$0.2	\$0.2	2007-10-01	2007-10-01	2008-09-30	2008-09-30	100.00%	100.00%
Deploy and Implement Increment 1 - All	\$1.6	\$1.6	2009-01-02	2009-01-02	2009-07-07	2009-07-07	100.00%	100.00%
FY 2009 Operations and Maintenance	\$0.3	\$0.3	2008-10-01	2008-10-01	2009-09-30	2009-09-30	100.00%	100.00%
Increment 2 Analysis and Configuration - AI	\$0.5	\$0.5	2009-08-01	2009-08-01	2009-09-30	2009-09-30	100.00%	100.00%
Increment 2 Data Analysis and Migration - AI	\$0.4	\$0.3	2009-10-01	2009-10-01	2009-11-30	2010-03-12	100.00%	100.00%
Increment 2 Testing, Training and Deployment - AI	\$0.4	\$0.3	2009-12-01	2009-11-23	2010-01-30	2010-03-29	100.00%	100.00%
FY 2010 Operations and Maintenance	\$0.6	\$0.5	2009-10-01	2009-10-01	2010-09-30		83.00%	83.00%
Increment 3 Analysis and Configuration - Phase I Regional Sites	\$0.5	\$0.5	2010-03-01	2009-12-14	2010-05-30		100.00%	80.00%
Increment 3 Data Analysis and Migration - Phase I Regional Sites	\$0.4	\$0.4	2010-06-01	2009-12-14	2010-07-31		100.00%	90.00%
Increment 3 Testing, Training and Deployment - Phase I Regional Sites	\$0.4	\$0.2	2010-08-01	2010-08-01	2010-09-30		50.00%	50.00%
FY 2011 Operations and Maintenance	*	*	2010-10-01		2011-09-30		0.00%	0.00%
Increment 4	*	*	2010-10-01		2011-01-30		0.00%	0.00%

1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline								
Description of Milestones	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
Analysis and Configuration - Phase II Regional Sites								
Increment 4 Data Analysis and Migration - Phase II Regional Sites	*	*	2011-02-01		2011-05-30		0.00%	0.00%
Increment 4 Testing, Training and Deployment - Phase II Regional Sites	*	*	2011-06-01		2011-09-30		0.00%	0.00%
FY 2012 Operations and Maintenance	*	*	2011-10-01		2012-09-30		0.00%	0.00%
Increment 5 Analysis and Configuration - Phase III Regional Sites	*	*	2011-10-01		2012-01-30		0.00%	0.00%
Increment 5 Data Analysis and Migration - Phase III Regional Sites	*	*	2012-02-01		2012-05-30		0.00%	0.00%
Increment 5 Testing, Training and Deployment - Phase III Regional Sites	*	*	2012-06-01		2012-09-30		0.00%	0.00%
FY 2013 Operations and Maintenance	*	*	2012-10-01		2013-09-30		0.00%	0.00%
Increment 6 Analysis and Configuration - Phase I Library Sites	*	*	2012-10-01		2013-01-30		0.00%	0.00%
Increment 6 Data Analysis and Migration - Phase I Library Sites	*	*	2013-02-01		2013-05-30		0.00%	0.00%
Increment 6 Testing, Training and Deployment - Phase I Library Sites	*	*	2013-06-01		2013-09-30		0.00%	0.00%
FY 2014 Operations and Maintenance	*	*	2013-10-01		2014-09-30		0.00%	0.00%
Increment 7	*	*	2013-10-01		2014-01-30		0.00%	0.00%

1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline								
Description of Milestones	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
Analysis and Configuration - Phase II Library Sites								
Increment 7 Data Analysis and Migration - Phase II Library Sites	*	*	2014-02-01		2014-05-30		0.00%	0.00%
Increment 7 Testing, Training and Deployment - Phase II Library Sites	*	*	2014-06-01		2014-09-30		0.00%	0.00%
FY 2015 Operations and Maintenance	*	*	2014-10-01		2015-09-30		0.00%	0.00%

* - Indicates data is redacted.